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PTO/SB/05 (09-00)
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EL635698875US

## UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 02950P049

First Inventor or Application Identifier Yan Zhao

Title A METHOD AND AN APPARATUS FOR PROVIDING PERSONALIZED

Assistant Commissioner for Patents APPLICATION ELEMENTS ADDRESS TO: Box Patent Application Washington, DC 20231 See MPEP chapter 600 concerning utility patent application contents Fee Transmittal Form (e.g. PTO/SB/17) CD-ROM or CD-R in duplicate, large table or (Submit an original, and a duplicate for fee processing) Computer Program (Appendix) Applicant claims small entity status. See 37 CFR 1.27. 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. Computer Readable Form (CFR) 3. Specification Total Pages 30 (preferred arrangement set forth below) Specification Sequence Listing on: - Descriptive title of the Invention - Cross References to Related Applications CD-ROM or CD-R (2 copies); or - Statement Regarding Fed sponsored R & D Paper - Reference to sequence listing, a table, or a computer program listing appendix Statement verifying identity of above copies - Background of the Invention - Brief Summary of the Invention ACCOMPANYING APPLICATION PARTS - Brief Description of the Drawings (if filed ) - Detailed Description Assignment Papers (cover sheet & document(s)) - Claim(s) 37 CFR 3.73(b) Statement Power of Attorney - Abstract of the Disclosure (when there is an assignee) Drawing(s) (35 U.S.C.113) Total Sheets English Translation Document (if applicable) Oath or Declaration Copies of IDS Information Disclosure Total Pages 3 Statement (IDS)/PTO - 1449 Citations Newly executed (original copy) a. **Preliminary Amendment** b. Copy from a prior application (37 CFR 1.63(d)) Return Receipt Postcard (MPEP 503) (for continuation/divisional with Box 16 completed) (Should be specifically itemized) Certified Copy of Priority Document(s) **DELETION OF INVENTOR(S)** (if foreign priority is claimed) i. Signed statement attached deleting Request and Certification under 35 USC 122(b)(2)(B)(i). inventor(s) named in the prior application. 16. Applicant must attach form PTO/SB/35 or its equivalent. see 37 CFR 1.63(d)(2) and 1.33(b). 17. Application Data Sheet. See 37 CFR 1.76. 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment: Continuation Divisional Continuation-in-part (CIP) of prior application No: Prior application Information: Examiner Group/Art Unit: For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts. CORRESPONDENCE ADDRESS 17. αr Correspondence address below Customer Number of Bar Code Label BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP Name 12400 Wilshire Boulevard, Seventh Floor Address Zip Code 90025 City Los Angeles State California (310) 207-3800 Fax (310) 820-5988 Country U.S.A. Telephone Carol F. Barry; Reg. No. 41,600 Name (Print/Type) 12/26/00 Signature

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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## FEE TRANSMITTAL for FY 2001

Petent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

840.00

Complete If Known				
Application Number				
Filing Date	12/26/00			
First Named Inventor	Yan Zhao			
Examiner Name				
Group Art Unit				
Attorney Docket Number	02950P049			

METHOD OF PAYMENT (check one) FEE			FEE C	ALCULATION (continued)		
The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:	3. A	DDITI	ONA	L FEI		
Danosit	Large	Entity	Small	Entity		
Deposit Account 02-2666		Fee		Fee	Fee Description	Fee Paid
Number 02-2000	Code		Code			
Deposit	105 127		205		Surcharge - late filing fee or oath	
Account Blakely, Sokoloff, Taylor & Zafman LLP		50	227	25	Surcharge - late provisional filing fee or cover sheet.	
Name Charge Any Additional Fee Required Under 37CFR 1.16 and 1.17	139	130	139	130	Non-English specification	
Applicant claims small entity status.	147	2,520	147	2,520	For filing a request for ex parte reexamination	
□ See 37 CFR 1.27		920	112	920	Requesting publication of SIR prior to Examiner action	
2. Payment Enclosed:	112	1 940	112	1 2/10	Requesting publication of SIR after	
Check Money Other	113	1,040	113	1,040	Examiner action	
FEE CALCULATION	115	110	215	55	Extension for response within first month	
1. FILING FEE	116		216		Extension for response within second month	
Large Entity Small Entity	117		217		Extension for response within third month	
Fee Fee Fee Fee Description Fee Paid	i .	1,390			Extension for response within fourth month	
Code (\$) Code (\$)		1,890			Extension for response within fifth month	<b></b>
101 710 201 355 Utility filing fee \$710	119		219		Notice of Appeal	
106 320 206 160 Design filing fee	120		220		Filing a brief in support of an appeal	<del>                                     </del>
107 490 207 245 Plant filing fee	121	270			Request for oral hearing	<b></b>
108 710 208 355 Reissue filing fee	138 140	1,510	138 240	1,510 55	Petition to institute a public use proceeding Petition to revive - unavoidably	
114 150 214 75 Provisional filing fee		1,240			Petition to revive - unintentionally	
SUBTOTAL (1) (\$) 710.00		1,240		-	Utility issue fee (or reissue)	
2. EXTRA CLAIM FEES Fee from	143	•	243		Design issue fee	
Extra Claims below Fee Paid	144	600	244	300	Plant issue fee	
Total Claims 25 -20** = 5 X \$18.00 = 90.00	122	130	122	130	Petitions to the Commissioner	
Independent 3 -3** = 0 X \$80.00 = 0.00	123	50	123	50	Petitions related to provisional applications	
Multiple Dependent =	126	180	126	180	Submission of Information Disclosure Stmt	
	581	40	581	40	Recording each patent assignment per	40
Large Entity Small Entity	440	740	246	255	property (times number of properties)	┝═╣
Fee Fee Fee Fee Description Code (\$) Code (\$)	146	/10	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
103 18 203 9 Claims in excess of 20	149	710	249	355	For each additional invention to be	
102 80 202 40 Independent claims in excess of 3					examined (37 CFR 1.129(b))	
104 270 204 135 Multiple Dependent claim	179	710	279	355	Request for Continued Examination (RCE)	<u> </u>
109 80 209 40 **Reissue independent claims over original patent	169	900	169	900	Request for expedited examination of a design application	
110 18 210 9 **Reissue claims in excess of 20	18 210 9 **Reissue daims in excess of 20 Other fee (specify)					
SUBTOTAL (2) (\$) 90.00						
"or number of previously paid, if greater, For Reissues, see above Peduced by Basic Filling Fee Paid SUBTOTAL (3) (\$) 40.					40.00	
SUBMITTED BY					Complete (if applic	able)

SUBMITTED B	Complete (if applicable)				
Typed or Printed Name	Carol F. Barry; Reg. No. 41,600			Reg. Number	
Signature	Can do	Date	12/26/00	Deposit Account User ID	02-2666

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## EQUEST AND CERTIFICATION **UNDER**

35 U.S.C. 122 (B)(2)(B)(i)

First Named Inventor		Yan Zhao			
Title	A METHOD A	ND AN APPARATUS FOR PROVIDING PERSONA			
Attorney Docket No.		02950P049			

I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12/26/00 Date

Carol F. Barry; Reg. No. 41,600

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application upon filing.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant must notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.